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ABSTRACT

This paper provides an overview of traditional administrator evaluation and compensation approaches based on control in three areas: certification, position, and time. Recent research suggests that compensation based solely on acquiring proper academic requirements, responsible positions, or additional experience is unlikely to increase school administrators' professional capability or productivity. Also, the public's demand in the 1970s for greater program accountability has shifted to a demand for personal performance accountability. Reform advocates are pressing for evaluation systems based on clear performance criteria to gauge teacher and administrator effectiveness and support dismissal, training efforts, or differentiated compensation. A Rand Corporation study helps resolve the ongoing performance/product argument by defining teaching in terms of four models: labor, craft, profession, and art. This paper considers all four as applied to administration and describes a professional development plan for four administrative levels: intern, provisional, career, and executive. These levels are amply illustrated by diagrams and accompanying definitions. The plan features differentiated supervision (including peer support and assistance at higher levels) and incentive pay for all administrators available only through the recommendation of peer assessors. Included are 10 figures. (MLH)

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An Evaluation and Incentive Program for School Administrators: A Professional Approach

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EA 019 378

An Evaluation and Incentive Program for School Administrators: A Professional Approach

Traditional Evaluation and Compensation

School administrators typically advance in their careers by acquiring control in three areas: *certification, position* and *time*. By completing certain academic requirements, educators acquire certificates authorizing them to hold specific kinds of administrative positions. Educators who obtain certification as an elementary principal seldom gain concurrent certification at the secondary level. In like fashion, educators who earn secondary certification seldom obtain elementary certification. Although educators have begun to recognize a set of generic administrative skills that span across positional responsibilities, most districts still tend to provide compensation based on positional assignments, whether it be elementary, secondary or central office, rather than on the quality of performance or productivity.

Besides certification and position, time is the primary factor used for determining compensation. The basic assumption is that additional experiences enhance the performance of administrators and result in greater effectiveness or productivity. Research, however, does not support the assumption that experience alone results in automatic improvement. Compensation based solely on certification, position and time is not likely to result in increasing the professional capability or productivity of school administrators.

External Demands for Accountability

The public's demand in the 1970's for greater program and system accountability has shifted in the 1980's to a demand for personnel performance accountability. This shift is described in the Rand Corporation study "Teacher Evaluation in the Organizational Context" by Hammond, Wise and Pease. This summary of research indicates that upgrading the quality of educational personnel moved from a position of relative insignificance to one of the key concerns voiced by parents in the 1975 Gallup Poll on education, outdistancing concerns such as basic education, better school management, lower class size and updating the curriculum.

There has been a steady pressure from boards of education, civic and business leaders, and most recently state legislatures for the development of evaluation systems based on clear performance criteria which can be reliably used to evaluate the relative effectiveness of teachers or administrators and which can support either dismissal, retraining efforts, or differentiated compensation.

One of the issues which remains unresolved is whether evaluation systems should be performance-oriented or product-oriented. The literature is replete with arguments on both sides. One source which helps frame the issue and point us toward some solutions is the Rand Corporation study which defines teaching as work using four models: labor, craft, profession and art.

A Fundamental Definition of Educational Administration

Substituting administration for work, we can examine administration as labor, craft, profession or art.

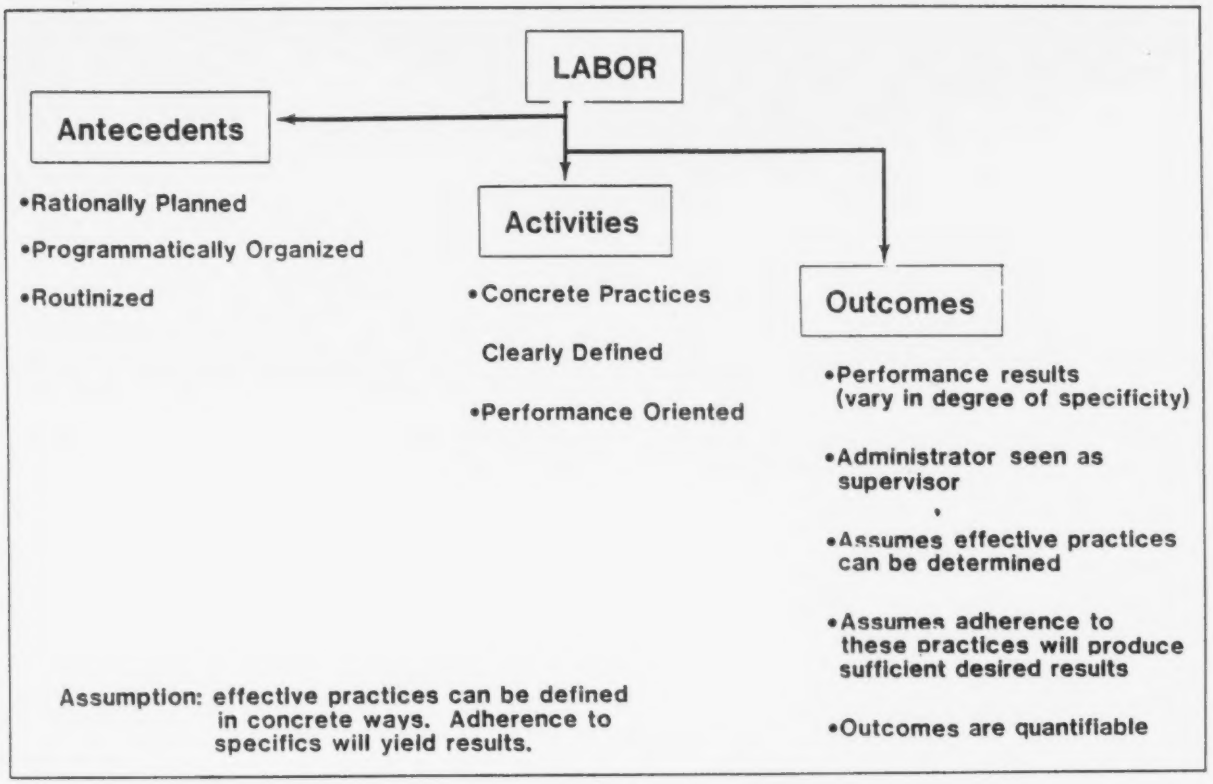


Figure 1

Administration as Labor

Administration as labor assumes as antecedents that administration can be rationally planned, programatically organized, and is basically *routine* in nature. Administrative activities, it is assumed, can be defined with such specificity that outcomes can be quantified and controlled effectively through close supervision. It is further assumed that such an arrangement can provide the basis for evaluation, compensation and career advancement.

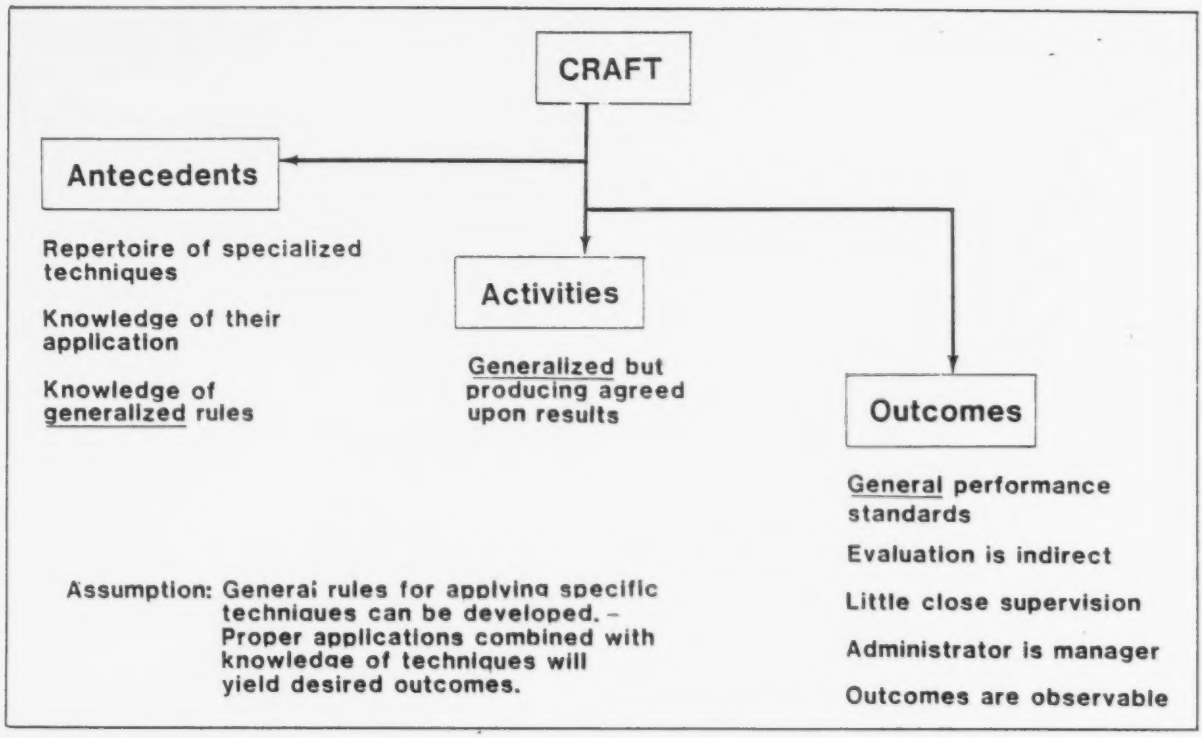

CRAFT
Antecedents
Repertoire of specialized techniques
Knowledge of their application
Knowledge of generalized rules
Activities
Generalized but producing agreed upon results
Outcomes
General performance standards
Evaluation is indirect
Little close supervision
Administrator is manager
Outcomes are observable
Assumption: General rules for applying specific techniques can be developed. – Proper applications combined with knowledge of techniques will yield desired outcomes.

Figure 2

Administration as Craft

Administration as craft (Figure 2) requires the application of a repertoire of specialized techniques. In this model, the activities of educational administration tend to be generalized, but they do produce agreed upon results. Evaluation here is *less direct*. There is *less close supervision*. The leader of administrators is really a manager rather than a close supervisor. It also assumes that the outcomes of good administration are observable. Educators are incorporating much of this approach into their definitions of evaluation.

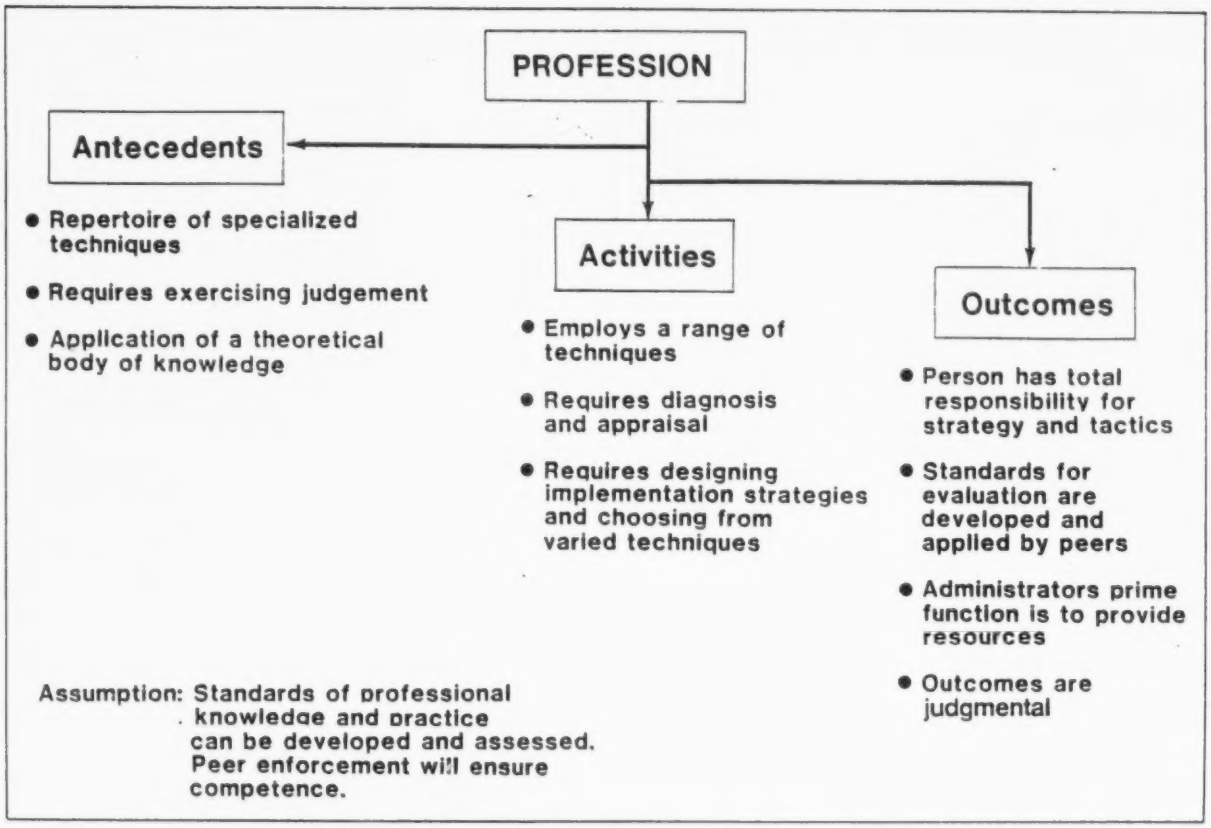

PROFESSION
Antecedents
• Repertoire of specialized techniques
• Requires exercising judgement
• Application of a theoretical body of knowledge
Activities
• Employs a range of techniques
• Requires diagnosis and appraisal
• Requires designing implementation strategies and choosing from varied techniques
Outcomes
• Person has total responsibility for strategy and tactics
• Standards for evaluation are developed and applied by peers
• Administrators prime function is to provide resources
• Outcomes are judgmental
Assumption: Standards of professional knowledge and practice can be developed and assessed. Peer enforcement will ensure competence.

Figure 3

Administration as a Profession

The third model describes administration as a *profession*. This is a term that we use, or misuse, habitually to describe the work that we are about. If educational administration is a profession, we must assume that it consists of a repertoire of specialized techniques and *that it requires exercising some judgment.* In fact, it requires exercising judgment in a majority of situations and is based upon the application of a theoretical body of knowledge. We must assume, if educational administration is indeed a profession, that the administrator employs a range of techniques and that a great majority of these techniques require the diagnosis and appraisal of situations on an individual basis. The administrator is often required to design implementation strategies and choose from a variety of techniques in order to assist individuals in adopting and advancing the goals of the organization.

Considering educational administration as a profession, we can see that the administrator has total responsibility for the strategy and tactics he or she would employ. This model also proposes that the outcomes include standards for evaluation that are developed and applied, not by supervisors, but by administrators themselves. Since standards for evaluation would be both developed and applied by peers, central office staff now seen as "supervisors" might shift to a staff support role.

In this model, we must assume that standards of professional knowledge and practice can be developed and assessed. *We must be confident* that peers can assess competence.

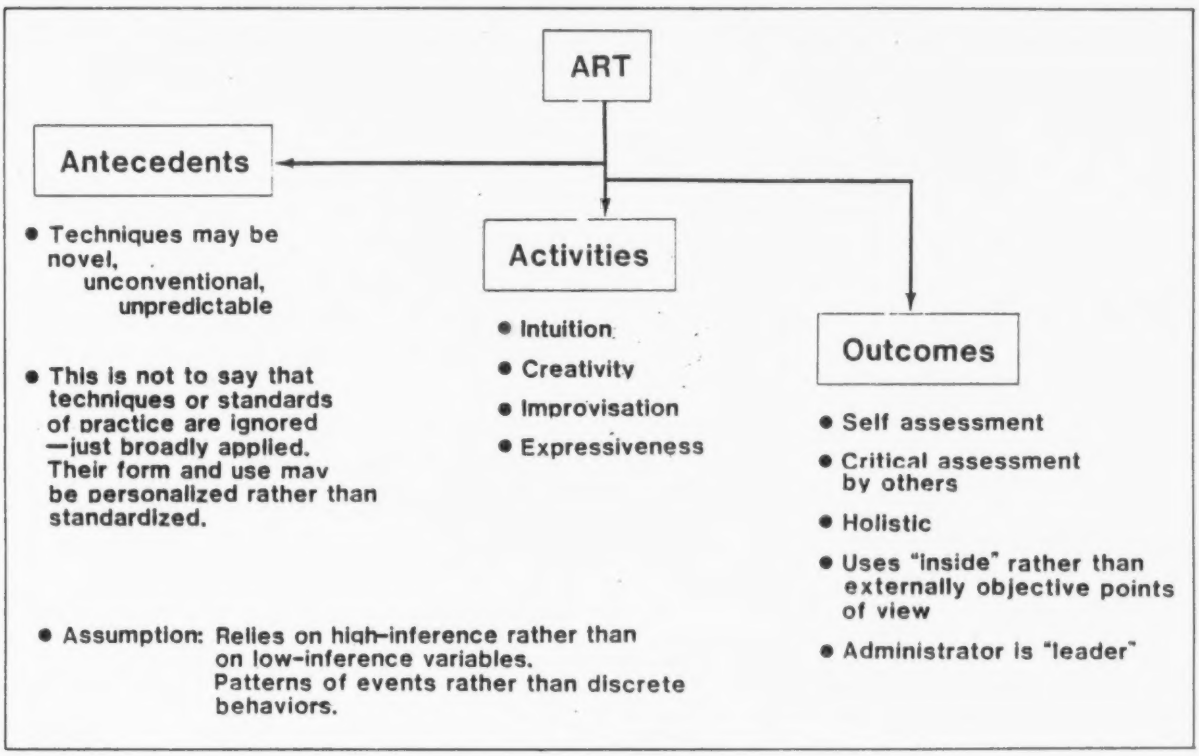

ART
Antecedents
Activities
Outcomes
• Techniques may be novel, unconventional, unpredictable
• This is not to say that techniques or standards of practice are ignored —just broadly applied. Their form and use may be personalized rather than standardized.
• Intuition
• Creativity
• Improvisation
• Expressiveness
• Self assessment
• Critical assessment by others
• Holistic
• Uses "inside" rather than externally objective points of view
• Administrator is "leader"
• Assumption: Relies on high-inference rather than on low-inference variables. Patterns of events rather than discrete behaviors.

Figure 4

Administration as an Art

If, on the other hand, administration is an art, administrators would use novel, unconventional and unpredictable techniques, and their activities would be based primarily on intuition, creativity, improvisation and expressiveness. Outcomes would center around self-assessment with *some* critical assessment by others, and the supervisor of administrators would be, in the loose sense of the word, the leader.

A Proposed Professional Development Program for School Administrators

In the Ferguson-Florissant School District administrators have courageously accepted the challenge and are seriously about designing a new evaluation/incentive program around the Rand model of the profession. They have agreed:

1. that the professional development program will include well-defined levels of performance and productivity associated with varying levels of incentives and
2. that the current single supervisory evaluation system will be replaced with a peer assessment system.

Figure 5 shows the proposed shift from the current method of evaluation to a *professional* model.

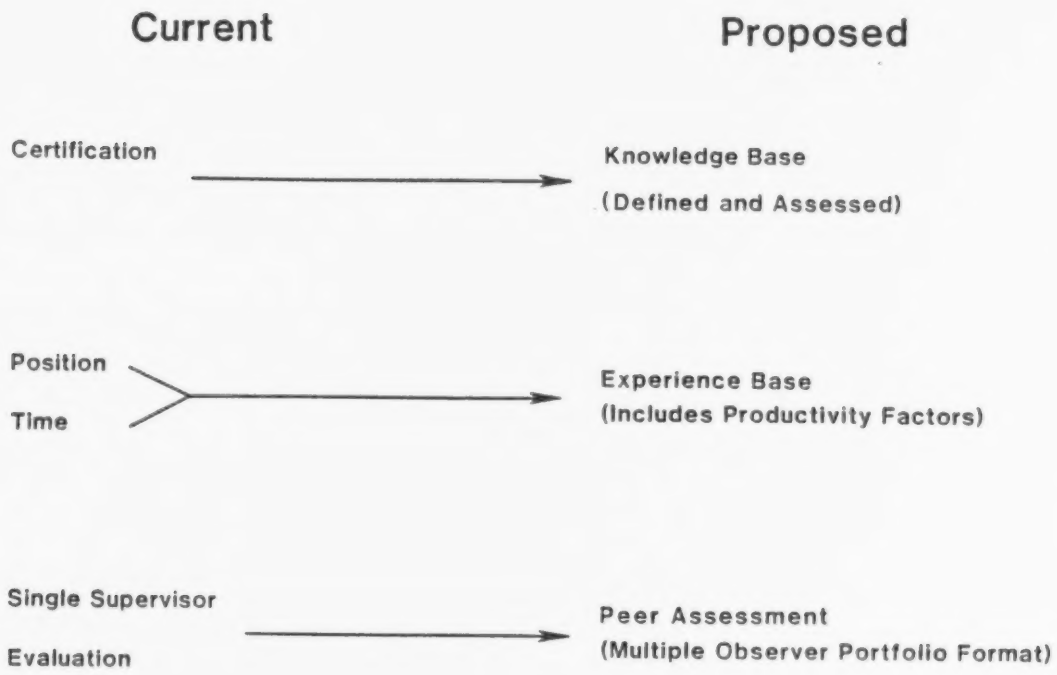


Figure 5

Administrators in this district are defining the knowledge and productivity expected at four different levels: the administrative intern, the provisional administrator, the career administrator and the executive administrator. The relationship of these levels with peer assessment and well defined knowledge and productivity indicators is shown in Figure 6.

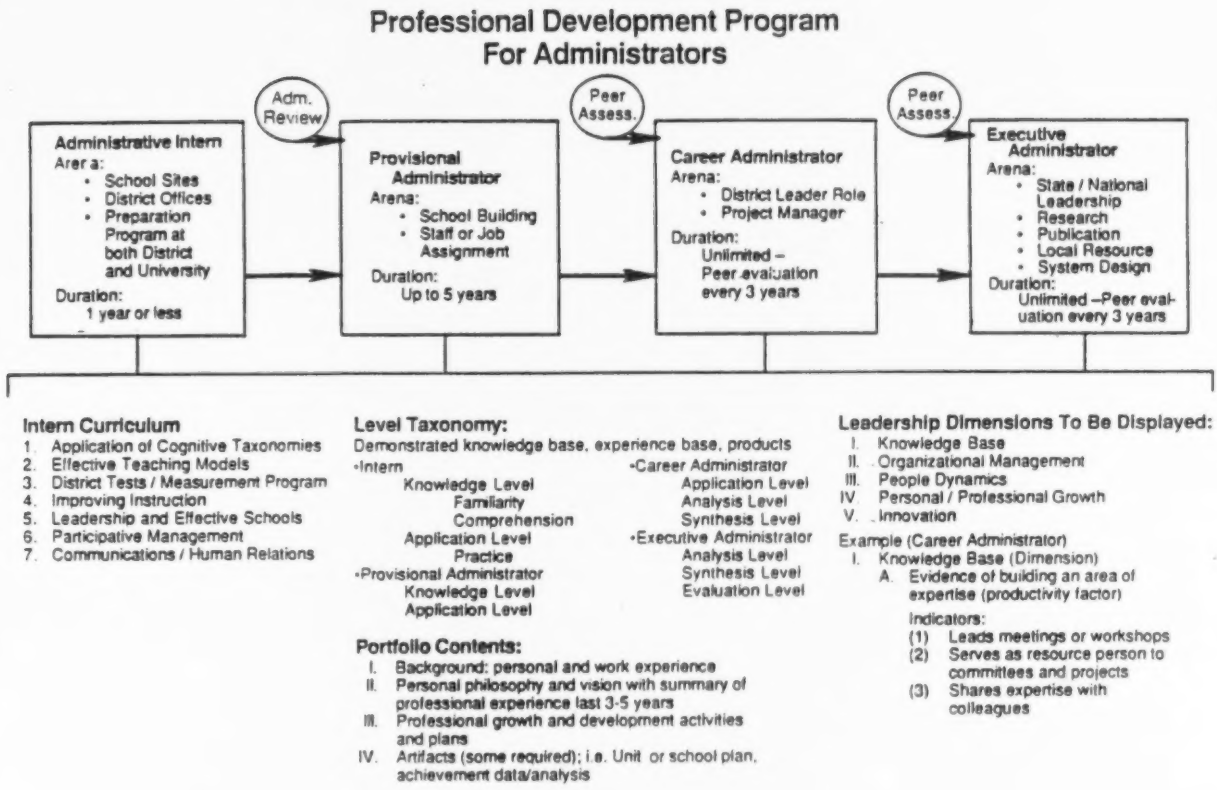


Figure 6

- The portfolio, probably limited to 7-9 pages, is essentially unlimited since the administrator can attach artifacts to support descriptions of achievement or productivity (data, publications, letters, etc.).
- The peer assessment process may have elements similar to the process used in assessment centers such as those developed by the National Association of Secondary School Principals. A peer assessment team might consist of five or six administrators each trained to assess the portfolio against the criteria associated with each level of performance and productivity, including the process of reaching consensus and providing written feedback to each administrator. The assumption is that *multiple* assessors will provide greater reliability and validity, at the same time leaving room for professional judgment regarding the generic dimensions of school administration being assessed. Though peer assessors have a number of discreet "look-fors" or indicators to use in evaluating an administrator and his portfolio, they ultimately have to use their collective judgment in placing a value on the relative merit of the portfolio and the administrator's productivity.

The peer assessment will result in a written summary report to each individual. The report would include:

- strengths, including validation of administrator's own self-assessment
- suggestions for further development
- recommendation to remain on level or advance
- recommendation for incentive level

Definition of Levels

The ***internship level*** portfolio should contain evidence of a knowledge base, and of a series of experiences and productivity factors that center around the intern experience. The experiences would be pre-service in nature and would probably place more weight on the knowledge base with certain clearly defined experiences and productivity factors included. Interns would generally emerge from preparation programs centered at a university and would not have had the opportunity to do much more than speculate about the application of the body of knowledge they have just acquired. Interns in our district would be expected to be knowledgable in *effective teaching models*, the *application of a cognitive taxonomy, leadership* and *human relations, effective schools research* and *basic management techniques* and they should be able to demonstrate that they have actively sought and successfully demonstrated leadership at whatever level is available. Interns would work closely with one or more mentors, a university professor as well as a practicing administrator.

Interns would have to apply for positions through the presentation of a basic portfolio. They would be required to present some products they might have developed prior to applying for the intern position. These, of course, should include products that have been beneficial to the district as well as those presented in their university program and already adjusted to be superior.

The arena for the ***provisional administrator*** would be the school building or, if that were not applicable, the staff or job assignment held during the first few years of service. The provisional administrator would have to present a portfolio made up of preadministration materials as well as those gathered during the internship program (if indeed they completed such a program). The assumption is that the intern program is one that would benefit candidates for provisional administrative positions within our school district, giving them an edge over equivalent outside candidates. A provisional administrator might work closely with a partner or mentor as well as a supervisor.

The provisional administrator would be expected to add to his or her portfolio over a five-year period of time, although he or she could request a peer evaluation during any year of service.

A provisional administrator would need a number of years to build a knowledge base, to demonstrate that knowledge, and to build an experience background that would confirm that the administrator had effectively applied that skill and knowledge. The provisional administrator would be expected to prepare a portfolio at the end of three years to be presented for review and possible assistance at the end of that third year. Within five years, the provisional administrator would have to apply to a peer assessment panel for status as higher level administrator which is labeled *career **administrator***. Failure to move successfully to this level would necessitate a probationary period with intensive assistance or reassignment to a non-administrative position.

Upon acceptance of the portfolio and judgment in favor of the candidates, the provisional administrators would attain status as ***career administrators***. Although they would maintain their positional role in the district; i.e., that of elementary principal, secondary principal, middle school principal, or district staff position, they would be expected to expand their arena from that of the building or the individual job description to a district leadership role. (See Figure 6.) Their experiences would revolve around the same basic dimensions of leadership but at a much higher level than as described for the provisional administrator. Specifically, they would demonstrate how they had applied their knowledge effectively and expanded it to the district arena.

The ***executive administrator*** would be expected to exhibit leadership not only within the district but also at the state or national level. The executive administrator would be expected to be engaged in active research, publication, and system design centering around district operations while expanding leadership beyond the bounds of the school system.

Although executive administrators in the district might be found at any positonal level, they would be expected to operate in a much more demanding arena than administrators at other levels of the professional development program. It should be fully recognized that with those additional demands, the executive administrator must be provided with the resources and incentives necessary, and the recognition and nurturing necessary, to make this level of administration highly satisfying as well as professionally demanding.

Executive administrators would operate at the analysis, synthesis, and evaluation level. They would be expected to serve on the superintendent's advisory council and would share in the leadership, operation and evaluation of the school system.

Executive administrators may operate in this arena for an unlimited period of time but must present their portfolios for review every three years. Those persons operating at the executive administrator level would always have the option of requesting movement to the career administrator level should they find this level of operation too demanding or should any other factors impact their ability to operate effectively at this level. Executive level administrators would serve on the peer assessment committees along with selected career administrators. They would have the responsibilities of serving as mentors to practicing administrators who aspired to the executive administrator level and of being certain that standards set for each level of administration were upheld throughout the professional development program. These administrators would work directly with the superintendent and the board as the administrative staff responsible for assisting the board in developing policy and direction in the district.

Transition Problems

Movement toward a peer assessment system including differential compensation (incentives) is fraught with problems. The chief problem is that peer assessment, especially when it results in differentiated compensation to any degree, will very likely affect collegial relations negatively. Collegiality is very important to educators and in fact is a key variable in establishing a climate which promotes professional behavior—the sharing of experience and expertise and frequent collaborating to solve problems or try out new practices. On the other hand, school administrators are interested in equity. They believe one should be paid what one is worth. This paradox can be addressed in two significant ways.

Differentiated Supervision

Traditionally, evaluation and supervision are often tied together; educators are evaluated by their supervisors. In this program the peer assessment system will be for assessment only. A differentiated supervision system is suggested as a means to help mitigate against competition and to encourage collegiality. As shown in Figure 7, all administrators except interns and provisional administrators will form groups of three (triads) for the purpose of helping each other develop unit or school plans (an artifact to be included with a portfolio and a district expectation). Executive administrators will be available as resources to triads. Presently, all administrators are expected to develop an annual work plan around a set of objectives which are related both to the unit/school needs and to the district's strategic goals. This expectation will remain. The triads will be a primary means of helping administrators complete that task, as well as encouraging them to use each other as resources and supportive colleagues.

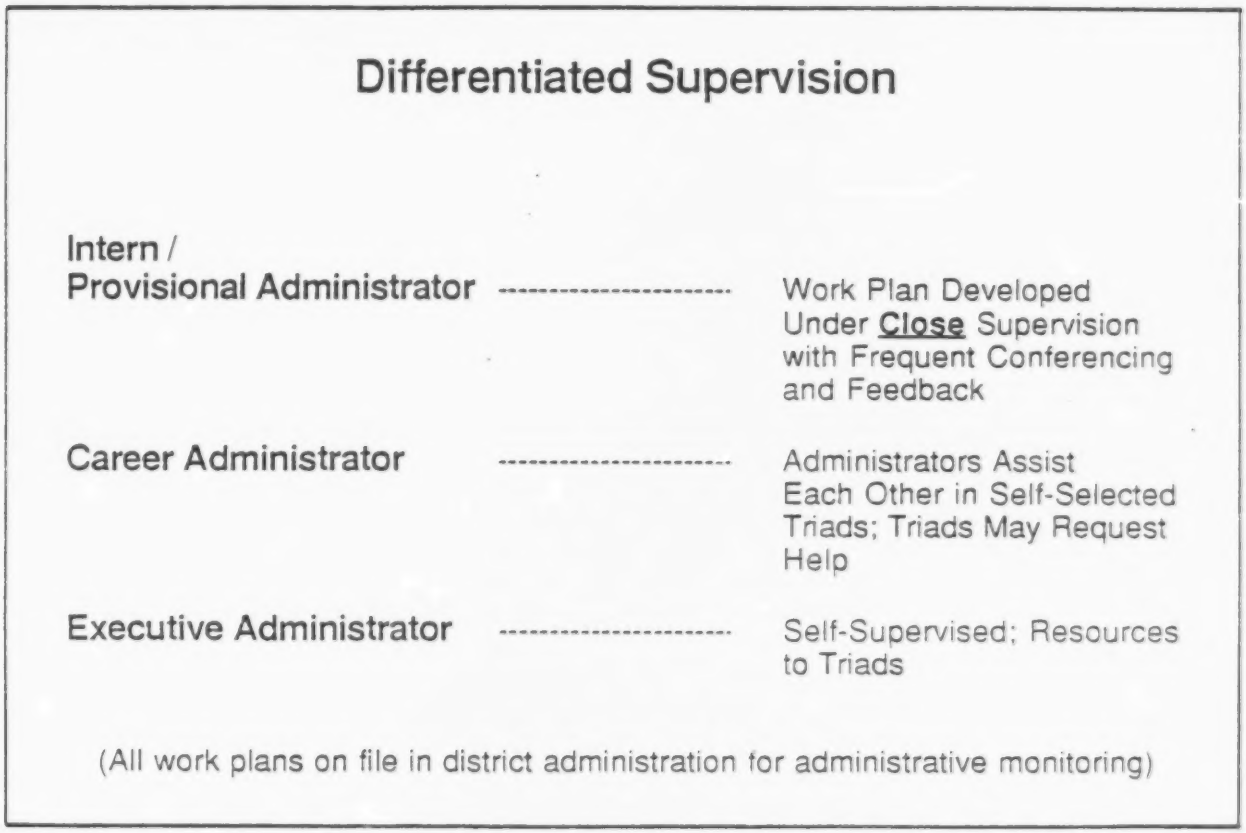

Differentiated Supervision
Intern / Provisional Administrator
Work Plan Developed Under Close Supervision with Frequent Conferencing and Feedback
Career Administrator
Administrators Assist Each Other in Self-Selected Triads; Triads May Request Help
Executive Administrator
Self-Supervised; Resources to Triads
(All work plans on file in district administration for administrative monitoring)

Figure 7

Differentiated Compensation

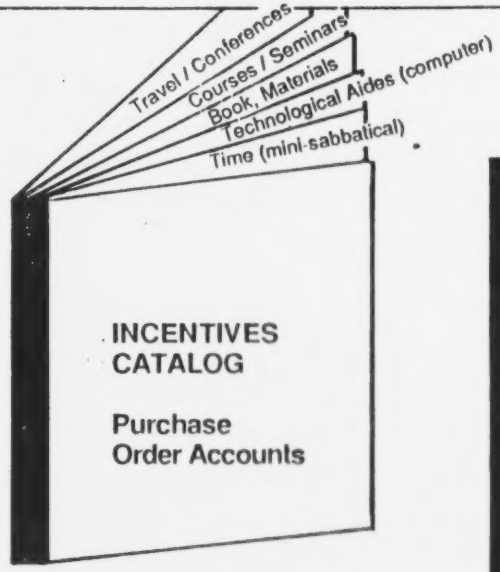
The expectation is that the compensation program would involve a pure application of Herzberg's dichotomy of hygiene and motivation needs. (Figure 8.) An administrator's basic hygiene needs (salary, working conditions, fringe benefits, etc.) would not be determined by peer assessment. That portion of an administrator's compensation would be related to his or her position

Compensation Parameters

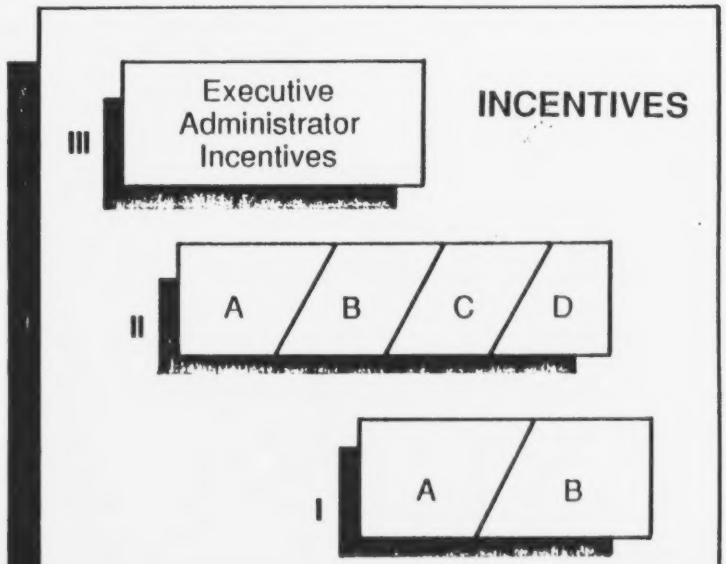
HERZBERG

Motivators:

- Achievement
- Recognition
- Work Itself
- Responsibility
- Advancement
- Growth



Equity
Non-Positional



Hygiene Needs:

- Status
- Security
- Relationships - Subordinates
- Personal Life
- Relationship - Peers
- Salary
- Working Conditions
- Relationship - Supervisor
- Company Policies

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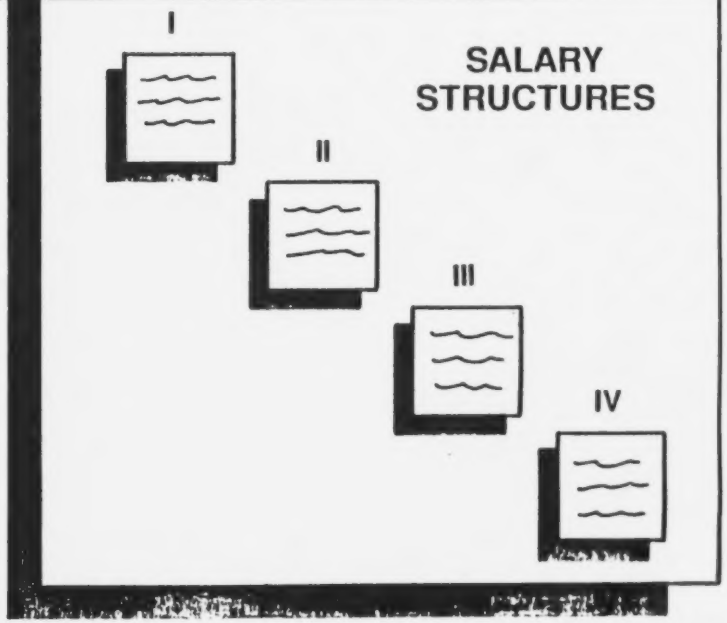
Collegial
Positional



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and responsibilities and would be relatively fixed in an agreed upon salary schedule, a schedule which would be adjusted on a periodic or annual basis. Satisfactory peer assessment would be sufficient for maintaining one's 'hygiene' benefits. Associated with each level of the professional development program, however, are various levels of incentives or motivators.

These incentives or sets of incentives are available only through recommendation of peer assessors. They are non-positional, available to every administrator in the system. A possible incentive package for an executive administrator is illustrated in Figure 9. Lesser numbers and amounts of these incentives might constitute different sets of incentives available to career administrators. To provide maximum flexibility, since what motivates people varies from individual to individual, compensation awarded through peer assessment could take the form of "checking accounts" of varying values. The administrator would control the accounts, having the ability to select specific incentives from a catalog. (See Figure 8.)

Incentives For Executive Administrator

Incentive	Approx. Value
Personal / Professional Growth Budget	$2000.00
Project Budget	$5000.00
Staff Assistance	$10,000.00
Sabbatical (Option)	Various
Member / Supt's Advisory Council	- - - - - - - -
District Representative to Outside Agencies	Expenses

Figure 9

These kinds of incentives give administrators greater control of the resources needed for personal growth and organizational improvement (time, money, access to decision-making and problem-solving). For example, by providing a budget for professional growth as an incentive, the administrator could elect to spend the money in the way he values most, selecting from a catalog of

possibilities: (books, convention attendance, professional travel, a computer, organizational membership, etc.) A project budget would allow such cataloged options as: funding a school or departmental improvement project or conducting research, maybe in collaboration with a university. The essence of these incentives is the empowerment of the administrator by giving him or her greater control of the resources needed for professional growth and development.

Moving from the current system of administrative compensation which is based on certification, position, time and supervisory evaluation to one based on demonstrated knowledge, experience, productivity and peer assessment will require time, planning, and most of all, courage to try a new and exciting idea.

This proposed program will require a substantial change or shift in the way we see and do things. It will require, in short, a change in the culture of our district's leadership team and consequently influence the behavior and culture of other employee groups in the total system. This has already begun happening during the design of the program.

Other employee groups (teachers, secretaries, etc.) are expressing great interest in the program's development and are beginning to explore the applicability of the program's underlying concepts to them. Several administrators are collecting data regarding the program's level of acceptance and its effect on the organization's climate. Throughout the process, these administrators will monitor and document the program's implementation and effects.

The proposed program, we believe, has the potential for increasing job satisfaction and motivation, helping to create an environment that satisfies the higher needs which both Maslow and Herzberg (Figure 10) tell us are so important to our full realization as professional educators. The ultimate result will be better leadership for more effective schools.

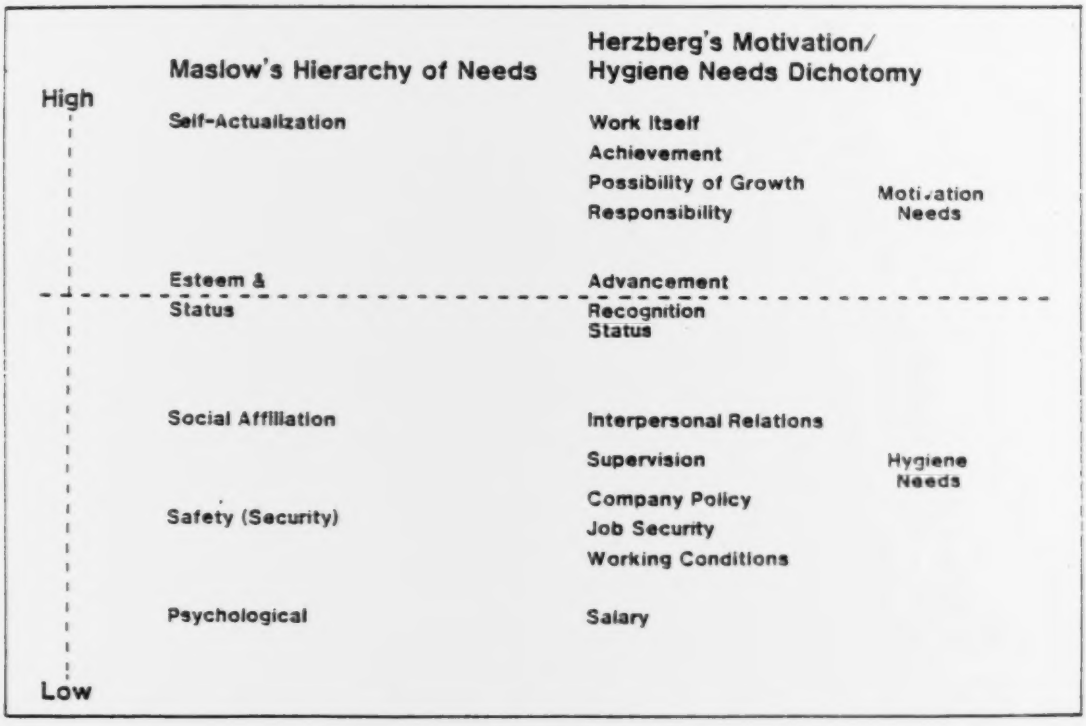

Figure 10